

06/20/01  
1033 U.S. PTO  
09/886144

Please type a plus sign (+) inside this box ☐ Approved for use through 10/31/2000. OMB 0651-0032  
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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	03528.0050.CNUS01
First Inventor	Jürgen Kleinschmidt
Title	Method for Purifying and Concentrating AAV-2 And Antigen Portions Thereof
Express Mail	EL615208958US

**APPLICATION ELEMENTS**

**ADDRESS TO:** Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

See MPEP Chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (PTC/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status  
See 37 CFR 1.27
3. ☒ Specification [Total Pages 9]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross reference to Related Applications
  - Statement Regarding Fed Sponsored R & D
  - Reference to sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
5. ☒ Oath or Declaration [Total Pages 3]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuational divisional with Box 17 completed;  
c. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary):
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information disclosure ☐ Copies of IDS  
Statement (IDS/PTO-1449 Citations)
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other: Preliminary Amendment, Clean Version of Amended  
Paragraphs; Clean Version of all Pending Claims.....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09/508,037, filed June 23, 2000  
Prior application information Examiner U. Winkler Group I Art Unit 1643

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label 27194 27194 or ☐ Correspondence address below

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Address	301 Ravenswood Avenue Box 34				
City	Menlo Park	State	CA	Zip Code	94025
Country	USA	Telephone	650-463-8109	Fax	650-463-8109

NAME (Print/Type)	Albert P. Halluin, Viola T. Kung	Registration No. (Attorney/Agent)	25.227, 41.131
Signature		Date	June 19, 2001

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision

**Complete if Known**

Application Number	Not Yet Assigned
Filing Date	Herewith
First Named Inventor	Jürgen Fleischmidt
Examiner Name	Not Yet Assigned
Group Art Unit	1648
Attorney Docket No	03528.0050 CNUS01

**TOTAL AMOUNT OF PAYMENT** (\$935.00)

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																																																															
<b>1.</b> <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Acct. No. <b>08-3038</b> Deposit Account Name <b>Howrey Simon Arnold &amp; White, LLP</b> <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		<b>3. ADDITIONAL FEES</b> <table border="1"> <thead> <tr> <th>Large Fee</th> <th>Entity Fee</th> <th>Small Fee</th> <th>Entity Fee</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>140</td><td>205</td><td>65</td><td>Subcharge - late filing fee or oath</td><td>_____</td></tr> <tr><td>127</td><td>150</td><td>127</td><td>15</td><td>Subcharge - late provisional filing fee or cover sheet</td><td>_____</td></tr> <tr><td>139</td><td>140</td><td>139</td><td>100</td><td>Non-English specification</td><td>_____</td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for expedited examination</td><td>_____</td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIP prior to Examination</td><td>_____</td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIP after Examination</td><td>_____</td></tr> <tr><td>115</td><td>110</td><td>115</td><td>15</td><td>Extension for reply within first month</td><td>_____</td></tr> <tr><td>116</td><td>190</td><td>116</td><td>15</td><td>Extension for reply within second month</td><td>_____</td></tr> <tr><td>117</td><td>890</td><td>117</td><td>445</td><td>Extension for reply within third month</td><td>445.00</td></tr> <tr><td>118</td><td>1,390</td><td>118</td><td>655</td><td>Extension for reply within fourth month</td><td>_____</td></tr> <tr><td>128</td><td>1,890</td><td>128</td><td>645</td><td>Extension for reply within fifth month</td><td>_____</td></tr> <tr><td>119</td><td>310</td><td>119</td><td>15</td><td>Twice - 1 Appeal</td><td>_____</td></tr> <tr><td>120</td><td>310</td><td>120</td><td>15</td><td>Filing a brief in support of an appeal</td><td>_____</td></tr> <tr><td>121</td><td>210</td><td>121</td><td>15</td><td>Request for oral hearing</td><td>_____</td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td>_____</td></tr> <tr><td>140</td><td>110</td><td>140</td><td>15</td><td>Petition to reissue - unintentional</td><td>_____</td></tr> <tr><td>141</td><td>1,240</td><td>141</td><td>610</td><td>Petition to reissue - intentional</td><td>_____</td></tr> <tr><td>142</td><td>1,240</td><td>142</td><td>620</td><td>Utility issue fee (or reissue)</td><td>_____</td></tr> <tr><td>143</td><td>440</td><td>143</td><td>220</td><td>Design issue fee</td><td>_____</td></tr> <tr><td>144</td><td>690</td><td>144</td><td>360</td><td>Plant issue fee</td><td>_____</td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td>_____</td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions relating to provisional applications</td><td>_____</td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of information Disclosure Stmt</td><td>_____</td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>_____</td></tr> <tr><td>146</td><td>110</td><td>146</td><td>35.5</td><td>Filing a submission after final rejection (37 CFR § 1.119a)</td><td>_____</td></tr> <tr><td>149</td><td>110</td><td>149</td><td>35.5</td><td>For each additional invention to be examined (37 CFR § 1.124(b))</td><td>_____</td></tr> <tr><td>179</td><td>110</td><td>179</td><td>35.5</td><td>Request for Continued Examination (RCE)</td><td>_____</td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td>_____</td></tr> </tbody> </table> Other fee (specify) _____ * Reduced by Basic Filing Fee Paid		Large Fee	Entity Fee	Small Fee	Entity Fee	Fee Description	Fee Paid	105	140	205	65	Subcharge - 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SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Albert P. Hallum, Viola T. Kung	Registration No (Attorney/Agent)	25,227, 41,131
Signature	<i>[Signature]</i>	Telephone	650-463-8109
		Date	June 19, 2001

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